Criterion # 1: Personnel Qualifications

	P	erformano	e Indicator	rs							
	# 1	# 2	# 3	# 4	Comments						
Surveyor Name											
Α											
В											
С											
D											
State Agency											
Date											
Performance Threshold:	100%										
Performance Results:											
Corrective Action Plan Re	equired? Ye	es NO									
Performance Result =	# of cells m	arked yes	divided by"	the total #	of cells with yes or no responses. Do not include						
NA in the counts. The res	NA in the counts. The responses could be marked "yes", "no", or NA. NA is appropriate when a new hire is so recent										
that #3 or #4 don't apply.											

Ongoing Training Activities

	Performance Indicators														
															Comments
SA Training System	Yes														
	No*														
		,								Optional					
Surveyor Name		1a	1b	1c	1d	1e	2a	2b	2c	3	4	5			
A															
В															
С															
D															
ETC.															
Non-Surveyor Name													6a	6b	
A															
В															
С															
ETC.															
State Agency															
Date															
Performance Threshold:	90%														
Performance Results:															
Corrective Action Plan R	Required? Y	es N	10												
* = If PI # 1 is No, Corre	ctive Action	Plan	requ	ıired.											
			-												
			-												
Performance Result =	# of cells m	narke	d yes	s "divic	led by"	the # c	of poss	ible ce	lls. D	o not includ	de NA	in co	ounts.		
The responses could be	marked "ye	es", "r	าด", ด	or NA.	Mark	the cell	s acco	rdingly	<u>'. </u>						

		Performance Review Criterion # 3									
Performance Indicator	'S	Met	Not Met	Comments							
1a											
1b											
2											
3											
4											
State Agency											
Date											
Performance Threshold:	85%										
Performance Results:											
Corrective Action Plan F	Required?	Yes NO									
Performance Result =	# of cells	s marked "n	net" divided	by 5.							
The responses could be	marked	"yes", "no",	or NA. Mar	k the cells accordingly.							
Do not include NA in co	ounts.										

							huorkobo	nt B			ı		
	Yes		No	_									
								If PI # 1 or	' 3 are "N	√O", a Corr	ective Act	ion Plan is	required
Assist on Projects													
SA Mechanism for Data Entry Problems													
					16			Cert Ch	anges	Upd	ates		
Accurate Data Entry A (CLIA #)				# Accurate Fields	# total fields	# Accurate Fields	# total fields	# Accurate Fields	# total fields	# Accurate Fields	# total fields		
Performance Result ^a													
				1	16			Cart Ch	anges	Lind	ates	Comr	alainte
				'	10	070, 20	9, 1337	Cert Cri	ariges	Ори	aics	Comp	Janus
Timely Data Entry				# timely	# total reviewed	# timely	# total reviewed	# timely	# total reviewed	# timely	# total reviewed	# timely	# total reviewed
, ,													
Е													
Performance Result**													
1_													
State Agency													
State Agency Date													
	95%												
Date Performance Threshold: Performance Results:													
Date Performance Threshold: Performance Results:		ed? Yes	No										
Date Performance Threshold:		d? Yes	No										
Date Performance Threshold: Performance Results: Corrective Action Plan	Require												
Performance Threshold: Performance Results: Corrective Action Plan Accuracy = # of fields	Require	accurate	ely "divi		otal # of fi	elds entere	d						
Date Performance Threshold: Performance Results: Corrective Action Plan	Require	accurate	ely "divi		otal # of fi	elds entere	d						
Performance Threshold: Performance Results: Corrective Action Plan Accuracy = # of fields	Require	accurate	ely "divi		otal # of fi	elds entere	d						
	Accurate Data Entry A (CLIA #) B C D E Performance Result* Timely Data Entry A (CLIA #) B C D E Performance Result*	Assist on Projects SA Mechanism for Data Entry Problems Accurate Data Entry A (CLIA #) B C D E Performance Result* Timely Data Entry A (CLIA #) B C D E Performance Result*	Current Policies Assist on Projects SA Mechanism for Data Entry Problems Accurate Data Entry A (CLIA #) B C D E Performance Result* Timely Data Entry A (CLIA #) B C D E Performance Result*	Current Policies Assist on Projects SA Mechanism for Data Entry Problems Accurate Data Entry A (CLIA #) B C D E Performance Result* Timely Data Entry A (CLIA #) B C D E Performance Result*	Current Policies Assist on Projects SA Mechanism for Data Entry Problems 1 # Accurate Fields A (CLIA #) B C D E Performance Result* 1 Timely Data Entry A (CLIA #) B C D E Performance Result* # timely A (CLIA #) B C D E Performance Result*	Current Policies Assist on Projects SA Mechanism for Data Entry Problems 116 Accurate Data Entry A (CLIA #) B C D E Performance Result* 116 # total fields # total fields # total reviewed A (CLIA #) B C D E Performance Result*	Yes	No Current Policies Assist on Projects	Current Policies Assist on Projects SA Mechanism for Data Entry Problems Survey Forms: 2567, 670, 209, 1557 Cert Ch Accurate Data Entry A (CLIA #) B C C C C C C C C C	Current Policies	Current Policies Assist on Projects SA Mechanism for Data Entry Problems 116 Survey Forms: 2567, Cert Changes Upd	Current Policies Assist on Projects SA Mechanism for Data Entry Problems 116	Current Policies

Criterion 4: Data Mgt. Worksheet A (Pre-lim data)

					116	2567	670	209	1557	Cert Chges	Updates	Complaints
PI # 5	Timely Data Entry	A: Receipt Date	B: Data Entry Date	# Days B-A =	Timely: Y / N							
	A (CLIA #)	Date	Lilliy Date	D-A =	1 / IN	1 / 1	1 / 1	1 / 19	1 / IN	1 / IN	1 / IN	1 / 1
	(0=)											
	B (CLIA #)											
	C (CLIA #)											
	D (01.14 (i)											
	D (CLIA #)											
	E (CLIA #)											

Performance Indicators (PI)		Budget Call Ltr or HCFA-105 Workload Target	SA Completed Workload	PI Met (or close to met)	PI Not Met	Comments
Initials						
Recertifications						
AQAS Surveys						
AQAS Verification **						
AO Validation Svy: 1 simultaneous, if possible						
COW Svys (2% of Total # of COW)						
State Agency						
Date Performance Threshold:		95%				
Performance Results: Corrective Action Plan Requ	ired?	Yes NO				
Performance Result = The responses could be mai		cells marked yes "divide "yes", "no", or NA. Mark			not include N	IA in counts.
* = If the SA can demonstrate they differ from those in the bud					t	
** = If Performed AQAS on a						s met.

	YES / NO		Comments			
Tracking System						
	# w/in Time-	% w/in Time-				
	Frame	frame				
Initial Surveys						
A (CLIA #)						
В						
С						
Recertification Svys						
A (CLIA #)						
В						
С						
AQAS Surveys						
A (CLIA #)						
В						
С						
AQAS Verification						
A (CLIA #)						
В						
С						
Validation Svys						
A (CLIA #)						
В						
С						
State Agency						
Date						
Performance Threshold:	85%					
Performance Results:						
Corrective Action Plan F	Required? Yes	s No If "No" for	tracking syste, corrective action plan is requ	ired.		
Performance Result =						
List the CLIA numbers f	or each surve	y category. In th	ne next column ("# w/in timeframe") the respo	onses	could	d be
marked "yes" or "no". M	lark the respo	nse for tracking	system and then mark response for each CL	_IA#	listed.	
Divide the # of "yes" res	ponses by the	total # of cells i	marked "yes" or "no". Do not count the respi	nse fo	or trac	king
system in the computati	on. NOTE: th	e column "% w/	in timeframe" is informational onlytimelines	s by	surve	у
category in shown to aid			·			

Column A	Column B	
Column A	Column B	
Dayfayyaan aa la diastaya		Comments
Performance Indicators		Comments
# of AQAS Surveys	# of Selected Which Met SOM	
Reviewed	Instructions	
	" ' ' ' ' ' ' ' ' ' ' ' ' ' ' ' ' ' ' '	
Selection for Onsite FU	# consistent with SOM	
visits	Instructions	
Selection for	# consistent with SOM	
mail/telephone FU	Instructions	
man, tereprierie i e	mondonomo	
Clustering per our cover		
Clustering per surveyor		
Trip. Look at 10 trips		
(cross-section of	# of trips w/labs clustered for	
surveyors when possible)	geographic proximity	
Total of Column A	Total of Column B	
Total of Coldinii A	Total of Coldilli B	

Performance Results = Total of Column B "divided by" Total of Column A

PI #5 COW surveys incorporated in the scheduling? Yes / No PI #6 Action taken in response to FMS feedback? Yes / No

If "no" for either, request a corrective actin plan

State Agency Date

Performance Threshold: 85%

Performance Results:

Corrective Action Plan Required? Yes NO

				Comments								
	1											
PT Tracking Mechanism	Yes	No*					1 1			ı		
		104	Jnsucc	o o o fu il			2	مطالمم	uccessfu	.1		Comments
		2a	2b	essiui 2c	2d	2e	3a	3b	3c	ม 3d	3e	Comments
PT Desk Reviews		Za	20	20	Zu	26	Ja	30	30	Su	36	
A (45D000000)	_											
В												
C												
D												
Charles A manager												
State Agency												
Date												
Date												
Performance Threshold:	85%											
Performance Results:												
Corrective Action Plan Req	uired? Yes	NO										
* = If PI # 1 is No, Action P	lan required.											
Performance Result =	# of cells m	arked y	es "div	ided by	" the #	of poss	ible cel	ls. Do n	ot includ	de NA i	n counts.	
The responses could be ma	arked "yes",	"no", or	NA. N	lark the	cells a	accordin	gly.					

	Performan	ce Indicator	r (PI) # 1*			
	1a	1b	1c		Comments	
FMS Survey (CLIA #)						
A (45D0000000)				_		
В				-		
C				-		
D				_		
etc				_		
Performance Result #1 =	_	If lose than	100% corr	octive actio	n plan required.	
r enormance Result #1 =	_	ii iess tiiai	1 100 % COII	ective actio	n plan required.	
	ID (1 11 1	(51) " 0*			_
	Performan	ce Indicator	r (PI) # 2*			
	2a	2b	2c		Comments	
FMS Survey (CLIA #)						
A (45D0000000)						
B C						
С						
etc						
				-		
Performance Result #2 =	_	If less than	100% corr	_ ective actio	n plan required.	
T CHOITIGHTOC TCSGR #2 =		ii iess triai	1 100 70 0011	COLIVE GOLIO	n plan required.	
	1	1				•
Performance Indicator #	Performance					
3	Result =	# Times Sa	A utilized FN	MS feedbac	k & took action "divided by"	
		# FMS	Feedback	(eg email d	or letter on FMS results) reviewed	
				(19 1 11		
Performance Indicator	5 (1
# 4	Performance Result =	# Surveyor	re who have	access to	CMS directives/SOM "divided by"	
<i>"</i> .	1100011				The directives/50 or divided by	
		# of Su	rveyors Inte	rviewed		
						Ī
Performance Indicator	Performance					
# 5	Result =	# Directive	s implemen	ited by surv	eyors "divided by"	
			<u> </u>			
		10 CM	IS Directives re	eviewed		
State Agency						
Date						
Performance Threshold:	95%	[Average of	the performs	ance results	(%) for PI # 1 - # 5.]	
Performance Results:	PI # 1 =	[/ Werage or	life periorine	The results	(70) 101 1 1 # 1 # 0.]	
1 enormance results.	PI # 2 =					
	PI # 3 =					
	PI # 4 =					
	PI # 5 =					
					If PI #1 or #2 is less than 100%, and/or average of PI	
Corrective Action Dies D	oguiro do	Voc	No		#1-#5 is less than 95%,Corrective Action Plan	
Corrective Action Plan R	equirea?	Yes	No		Required	
	L	<u> </u>	<u> </u>			1
					ark the cells accordingly, and divide the # of of	cells
marked "yes" by the tota	I # of cells (1a, 1b and	1c) for the F	FMS survey	s listed.	

	ar	ce Review Cr	iterion # 10	0			
Performance Indicators		Met	Not Met				
1							
2							
3							
4							
5							
6							
* For each indicator, the respon	าร	e is one "yes"	either in "m	net" or "not i	met". Mark	the cells ac	cordingly.
Pertorm	ar	ce Review Cr	iterion # 11	1	1		
Dayfawa ay a la dia tau		Mat	NI-4 NA-4				
Performance Indicators		Met	Not Met				
1							
2 3							
4						1	
5							
6							
Ü							
* For each indicator, the respon	ารเ	e is one "ves"	either in "m	net" or "not i	met". Mark	the cells ac	cordinaly.
, and the second		, , , , , , , , , , , , , , , , , , ,					
Date							
State Agency							
Performance Threshold # 10:		100%					
Performance Results # 10:							
Corrective Action Plan Require	ď	Yes NO					
Porformance Threshold # 11:		1000/					
Performance Threshold # 11: Performance Results # 11:		100%					
Corrective Action Plan Require	ч.	Yes NO					
Consciive Action Flan Nequile	u !	163 110					
Performoance Result for each	С	riterion = # of	cells marke	ed "yes" in t	he "met" co	olumn divide	d by 6

	Performance Indicators												
	PI #1	PI #2											Comments
	Yes or No	Yes or No											
Follow SOM *			· · · · · ·						•				
Tracking Mechanism*													
	_	'											
Enforcement Review	Svy Type	e **		PI #3	PI #4	PI #5	PI #6a PI #6b	PI #6c	PI #6d	PI #7	PI # 8	PI #9	
	Std 23-D	90-D											
A (CLIA #)													
С													
D													
E													
F													
G													
Н													
State Agency													
Date													
Performance Threshold:	90%												
Performance Results:													
Corrective Action Plan	Required?	Yes NO											
* = If PI # 1 is No, Corre	ective Action	n Plan requi	red.										
** Place an "X" in the ce	ell of the app	propriate co	lumn to de	note the	survey ty	pe (std.	, 23-day or 90-d	ay enfor	cement t	rack).			
	# of cells n	marked yes f	for PI# 3, 4	5, 6a, 6l	o. 6c, 6d	, 7, 8 and	d 9 divided by th	e total #	of cells i	n the PI	marked	"yes" or	"no". Do not include cells marked
"NA" in the count.													
The responses for PI #	3 - 9 could	be marked "	'yes", "no",	or NA. I	or each	CLIA#	listed, put a resp	onse (y	es,no, or	NA) in the	he colun	nns label	led PI # 3 - 9.

Performance Indicators													
	1												Comments
Complaint Tracking													
System	Yes	No*											
								l	I			, ,	
									_			_	
			2	3	4a	4b	4c	5	6a	6b	7	8	Comments
Complaint	CLIA # (if applicable)												
A (Complaint Tracking #) B C D E													
В													
C													
D													
<u> </u>													
<u>r</u>													
G H													
1													
J													
The responses could be ye	rdingly												
The responses could be ye	35, 110, OF INA. WAIK LIN	cells acco	ruirigiy.										
State Agency													
State Agency													
Date													
Date													
Performance Threshold:	90%												
1 Chamilance Thiodhold.	0070												
Performance Results:													
. comiano recato.													
Corrective Action Plan Rec													
* = If PI # 1 is "No", Corrective Action Plan required.													
	- I I I I I I I I I I I I I I I I I I I												
Performance Result = # of cells marked yes "divided by" total # of possible cells. Do not include NA for counts.													
renormance nesult = # or cens marked yes divided by total # or possible cens. Do not include NA for counts.													